

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Masaaki SHIBATA et al. : **Mail Stop: PCT**  
Serial No. NEW : Attorney Docket No. 2006-0162A  
Filed February 16, 2006 :

POWER GENERATING WIND TURBINE  
[Corresponding to PCT/JP2004/014157  
Filed September 28, 2004]

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application  
PCT/\_\_\_\_\_; and/or
- ☐ each reference previously cited in prior parent application Serial No.  
\_\_\_\_\_.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the  
above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office  
Action after the filing of an RCE,

ATTACHMENT D

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

10/568627

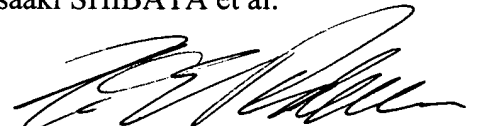
IAP20 Rec'd PCT/PTO 16 FEB 2006

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☒ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☒ the concise explanation contained in the specification of the present application at page 2,
  - d. ☒ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below and/or on a separate sheet attached to the reference:
    - US 2004/0108733 corresponds to WO 02/057624
    - US 2003/0086631 corresponds to JP 2003-194071
    - US 4,895,458 corresponds to JP 1-113579
    - US 2003/0194310 corresponds to WO 01/98655
5. ☒ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Masaaki SHIBATA et al.

By



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February 16, 2006

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FORM PTO 1449 (modified)

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PATENT AND TRADEMARK OFFICE

LIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

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NEW

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APPLICANT  
Masaaki SHIBATA et al.

FILING DATE  
February 16, 2006

GROUP

U.S. PATENT DOCUMENTS

| *EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE    | NAME           | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|----------------------|----|--------------------|---------|----------------|-------|----------|-------------------------------|
|                      | AA | 2004/0038770       | 2/2004  | Flamang et al. |       |          |                               |
|                      | AB | 2004/0108733       | 6/2004  | Wobben         |       |          |                               |
|                      | AC | 2003/0086631       | 5/2003  | Faltus et al.  |       |          |                               |
|                      | AD | 4,895,458          | 1/1990  | Gerster        |       |          |                               |
|                      | AE | 2003/0194310       | 10/2003 | Canini et al.  |       |          |                               |
|                      | AF | 2002/0049108       | 4/2002  | Hosle          |       |          |                               |
|                      | AG | 6,420,808          | 7/2002  | Hösle          |       |          |                               |

FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |
|--|----|--------------------|---------|---------|-------|----------|-----------------------|
|  | AH | 02/14690           | 2/2002  | WO      |       |          |                       |
|  | AI | 02/057624          | 7/2002  | WO      |       |          | abstract              |
|  | AJ | 2003-194071        | 7/2003  | JP      |       |          | abstract              |
|  | AK | 2002-129217        | 5/2002  | JP      |       |          | abstract              |
|  | AL | 1-113579           | 5/1989  | JP      |       |          | abstract              |
|  | AM | 01/98655           | 12/2001 | WO      |       |          | abstract              |
|  | AN | 01/21956           | 3/2001  | WO      |       |          |                       |
|  | AO | 01/57398           | 8/2001  | WO      |       |          |                       |
|  | AP | 02/079644          | 10/2002 | WO      |       |          |                       |
|  | AQ | 03/031811          | 4/2003  | WO      |       |          |                       |
|  | AR | 03/014566          | 2/2003  | WO      |       |          |                       |

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |  |
|--|----|--|
|  | AS |  |
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EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## INFORMATION DISCLOSURE STATEMENT

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

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## U.S. PATENT DOCUMENTS

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|----------------------|----|--------------------|------|------|-------|----------|-------------------------------|
|                      | AA |                    |      |      |       |          |                               |
|                      | AB |                    |      |      |       |          |                               |
|                      | AC |                    |      |      |       |          |                               |
|                      | AD |                    |      |      |       |          |                               |
|                      | AE |                    |      |      |       |          |                               |
|                      | AF |                    |      |      |       |          |                               |
|                      | AG |                    |      |      |       |          |                               |
|                      | AH |                    |      |      |       |          |                               |
|                      | AI |                    |      |      |       |          |                               |

## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE    | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES NO |  |
|--|----|--------------------|---------|---------|-------|----------|-----------------------|--|
|  | AJ | 03/014567          | 2/2003  | WO      |       |          |                       |  |
|  | AK | 0 811 764 A1       | 12/1997 | EP      |       |          | partial               |  |
|  | AL | 1 243 791 A2       | 9/2002  | EP      |       |          | partial               |  |
|  | AM | 1 186 804 A1       | 3/2002  | EP      |       |          | partial               |  |
|  | AN | 2000-337245        | 12/2000 | JP      |       |          | abstract              |  |

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |    |  |
|--|----|--|
|  | AO |  |
|  | AP |  |
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